

DEPARTMENT OF COMMERCE
NORTH CAROLINA UTILITIES COMMISSION
CHIEF CLERK'S OFFICE

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

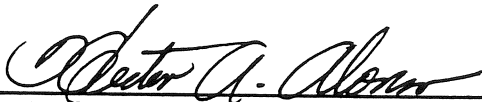
CHIEF CLERK'S OFFICE

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including machine readable records not listed in this schedule are not authorized to be destroyed. The

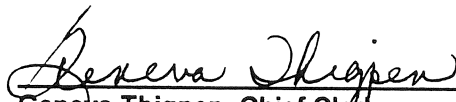
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

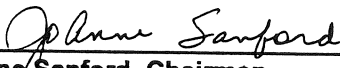
APPROVAL RECOMMENDED



Hector A. Alonso, Chief Records Officer
Department of Commerce



Geneva Thigpen, Chief Clerk
North Carolina Utilities Commission



Jo Anne Sanford, Chairman
North Carolina Utilities Commission



Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Rick E. Carlisle, Secretary
Department of Commerce



Betty Ray McCain, Secretary
Department of Cultural Resources

May 15, 2000

This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

KLS


PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT


DEPARTMENT OF COMMERCE
NORTH CAROLINA UTILITIES COMMISSION
CHIEF CLERK'S OFFICE


Amend the program records retention and disposition schedule approved May 15, 2000 by changing the description of Item 34962 as shown on substitute page dated February 28, 2002.

APPROVAL RECOMMENDED

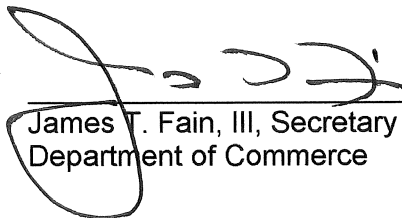

Mac Ellis, Chief Records Officer
Department of Commerce



Jo Anne Sanford, Chairwoman
North Carolina Utilities Commission


Geneva Thigpen, Chief Clerk
North Carolina Utilities Commission


David J. Olson, Director
Division of Historical Resources

APPROVED


James T. Fain, III, Secretary
Department of Commerce


Lisbeth C. Evans, Secretary
Department of Cultural Resources

Department of Commerce

North Carolina Utilities Commission

Chief Clerk's Office

Item 557. MINUTES FILE. Official copies of minutes of the North Carolina Utilities Commission. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto optical disk when received. Transfer paper copies of scanned records to the State Records Center after 2 years to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault. Retain in office optical disks permanently. Transfer security copy to an off-site location for backup storage and update monthly.

Item 560. INACTIVE DOCKETS (RATE CASES) FILE. Records concerning rate cases heard by the commissioners. File includes exhibits (applications, orders, and transcripts) of cases, correspondence, concerns, complaints, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after closing and if case is not on appeal. Records will be held for agency in the State Records Center 20 additional years and then transferred to the custody of the Archives.

Item 561. TRANSCRIPTS FILE. Official copies of transcripts of docket cases heard by the commission.

DISPOSITION INSTRUCTIONS: Records transferred to Active Dockets File (Item 12677). Transfer records currently stored in the State Records Center to the custody of the Archives 20 years from date received.

Item 562. GENERAL ORDER DOCKETS FILE. Rulemaking procedures and orders initiated by the commission. File includes orders concerning electrical, telephone, and gas companies under the commission's jurisdiction.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 2 years after closing. Records will be held for agency in the State Records Center 20 additional years and then transferred to the custody of the Archives.

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Item 12669. INACTIVE DOCKETS (OTHER) FILE. Records concerning hearings and cases heard by the commissioners. File includes exhibits (applications, orders, and transcripts) of cases, correspondence, consumers' complaints, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 1 year after closing and if case is not on appeal. Records will be held for agency in the State Records Center 20 additional years and then transferred to the custody of the Archives.

Item 12675. AGENDA FILE. Listing of utilities companies and docket numbers of cases to be heard by the commission.

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto optical disk when received. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Update optical disks annually. Transfer security copy to an off-site location for backup storage and update monthly.

Item 12677. ACTIVE DOCKETS FILE. Records concerning cases to be heard or being heard by the commission. File includes pending decisions or orders, and case transcripts.

DISPOSITION INSTRUCTIONS: Transfer to Inactive Dockets (Rate Cases) File (Item 560) after final order is issued.

Item 12678. ELECTRIC COOPERATIVES FILE. Correspondence and other related records concerning electric cooperatives and electrical suppliers.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 12683. TRUCK CALENDARS FILE. Records concerning dates set for motor transportation hearings. File includes list of truck proceedings that are scheduled for hearings.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 12684. COMMISSION'S CALENDARS FILE. Calendars listing weekly and monthly assignment of cases to be heard by the commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

Item 12685. LEGISLATIVE BULLETINS FILE. Reference copies of bulletins published by the North Carolina General Assembly.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

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Item 12687. NATIONAL ASSOCIATION OF REGULATORY UTILITY COMMISSIONS (NARUC) BULLETINS FILE. Reference copies of bulletins published by NARUC.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 12694. COMMISSION'S REPORTS FILE. Official copies of published reports concerning orders and decisions issued by the North Carolina Utilities Commission.

DISPOSITION INSTRUCTIONS: Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, State Library of North Carolina when received from printer, in accordance with G.S. 125-11.7/11.8. Destroy in office remaining copies and related records when reference value ends.

Item 12695. ALPHABETICAL DOCKET INDEX FILE. Index card file for office use to track docket numbers, names of companies, and descriptions of items that have been used.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

Item 12696. CONFIDENTIAL DOCKETS FILE. Sealed docket cases containing confidential information filed by utility companies. File includes utility companies' names, financial information, rate information, employees' salaries information, and other related information. (Comply with applicable provisions of G.S. 132-1.2 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 34960. DETAILED AGENDA FILE. Listing of detailed items on commission's agenda including explanations and recommendations.

DISPOSITION INSTRUCTIONS: Scan in office paper records and record onto optical disk when received. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Erase/destroy in office after 5 years. Transfer security copy to an off-site location for backup storage and update monthly.

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Item 34062. STAFF CONFERENCE TRANSCRIPTS FILE. Transcripts of weekly staff conferences which are held for regulatory matters to be presented to the Commission for approval. (Parties of record to the proceeding and the general public are allowed to speak to present their views/concerns to the Commission.) Amended 02-28-02

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

Item 44313. DOCKETS APPLICATION DATABASE (ELECTRONIC) FILE. Machine readable records concerning documents filed and orders issued. Electronic file includes docket numbers, dates filed, description of documents, and other related data. (File maintenance and backup procedures are conducted by Department of Commerce, North Carolina Utilities Commission Local Area Network (LAN) Administrator).

DISPOSITION INSTRUCTIONS: Erase/destroy in office when superseded or obsolete.

Item 44314. UTILITY COMPANIES FILE. Records concerning promotional activities and contact information of utility companies. File includes address and staff changes, promotional tariff offerings, fatality reports, and other related information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.